

02-15-01

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02/14/01  
J1033 U.S. PTO

Assistant Commissioner for Patents  
Washington, DC 20231  
ATTN: BOX UTILITY APPLICATION

UTILITY  
PATENT APPLICATION  
TRANSMITTAL  
Docket No.: 99-617  
Date: February 14, 2001

Sheet 1 of 2

J1046 U.S. PTO  
09/783367  
02/14/01

U.S. Express Mail Label No.: EL744439378US

Inventor Name(s):  
CLIFFORD E. COTTON, III

Title:  
APPARATUS AND METHOD FOR ADJUSTING THE PRE-LOAD OF A SPRING

- ☒ Fee Transmittal Form Attached in Duplicate
- ☒ Specification and Claim(s) [Total Pages  ]
- ☒ Drawing(s) [Total Sheets  ]
- 

Declaration [Total Pages  ]

- ☒ Newly Executed (Original or Copy)
- ☐ Copy From Prior Application (37 CFR § 1.63(d))
- ☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)

- ☒ Assignment Papers (Cover Sheet and Document(s))
- ☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449
- ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (Specifically Itemized)
- ☐ Certified Copy of Priority Document(s)
- ☐ Other

If a Continuing Application

☐ Continuation                      ☐ Divisional                      ☐ Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner : ; and

Group/Art Unit: .

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

or

☐ Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

\*\*\*\*\*

Attorney/Agent: Clifton G. Green

Registration No.: 41,044

Signature:   
Caterpillar Inc.

Date: 2-14-01

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 950

## Complete if Known

|                      |                         |
|----------------------|-------------------------|
| Application Number   | (Unassigned)            |
| Filing Date          | (Herewith)              |
| First Named Inventor | CLIFFORD E. COTTON, III |
| Examiner Name        | (Unassigned)            |
| Group Art Unit       | (Unassigned)            |
| Attorney Docket No.  | 99-617                  |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1129  
Deposit Account Name \_\_\_\_\_

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee Description        | Fee Paid   |
|-----------------------|-----------------------|------------------------|------------|
| 101 710               | 201 355               | Utility filing fee     | 710        |
| 106 320               | 206 160               | Design filing fee      |            |
| 107 490               | 207 245               | Plant filing fee       |            |
| 108 710               | 208 355               | Reissue filing fee     |            |
| 114 150               | 214 75                | Provisional filing fee |            |
| <b>SUBTOTAL (1)</b>   |                       |                        | <b>710</b> |

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 19                 | -20** = 0    | 18             | 0        |
| 6                  | -3** = 3     | 80             | 240      |
| Multiple Dependent |              |                |          |

| Large Entity Fee Code | Small Entity Fee Code | Fee Description  |
|-----------------------|-----------------------|--|
| 103 18                | 203 9                 | Claims in excess of 20                                     |
| 102 80                | 202 40                | Independent claims in excess of 3                          |
| 104 270               | 204 135               | Multiple dependent claim, if not paid                      |
| 109 80                | 209 40                | ** Reissue independent claims over original patent         |
| 110 18                | 210 9                 | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$) 240

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code     | Small Entity Fee Code | Fee Description  | Fee Paid |
|---------------------------|-----------------------|--|----------|
| 105 130                   | 205 65                | Surcharge - late filing fee or oath  |          |
| 127 50                    | 227 25                | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                   | 139 130               | Non-English specification  |          |
| 147 2,520                 | 147 2,520             | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                  | 112 920*              | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                | 113 1,840*            | Requesting publication of SIR after Examiner action                        |          |
| 115 110                   | 215 55                | Extension for reply within first month                                     |          |
| 116 390                   | 216 195               | Extension for reply within second month                                    |          |
| 117 890                   | 217 445               | Extension for reply within third month                                     |          |
| 118 1,390                 | 218 695               | Extension for reply within fourth month                                    |          |
| 128 1,890                 | 228 945               | Extension for reply within fifth month                                     |          |
| 119 310                   | 219 155               | Notice of Appeal   |          |
| 120 310                   | 220 155               | Filing a brief in support of an appeal                                     |          |
| 121 270                   | 221 135               | Request for oral hearing   |          |
| 138 1,510                 | 138 1,510             | Petition to institute a public use proceeding                              |          |
| 140 110                   | 240 55                | Petition to revive - unavoidable   |          |
| 141 1,240                 | 241 620               | Petition to revive - unintentional   |          |
| 142 1,240                 | 242 620               | Utility issue fee (or reissue)   |          |
| 143 440                   | 243 220               | Design issue fee   |          |
| 144 600                   | 244 300               | Plant issue fee  |          |
| 122 130                   | 122 130               | Petitions to the Commissioner  |          |
| 123 50                    | 123 50                | Petitions related to provisional applications                              |          |
| 126 240                   | 126 240               | Submission of Information Disclosure Stmt                                  |          |
| 581 40                    | 581 40                | Recording each patent assignment per property (times number of properties) |          |
| 146 710                   | 246 355               | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710                   | 249 355               | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710                   | 279 355               | Request for Continued Examination (RCE)                                    |          |
| 169 900                   | 169 900               | Request for expedited examination of a design application                  |          |
| Other fee (specify) _____ |                       |  |          |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 0

## SUBMITTED BY

|                   |                      |                                   |            |           |                |
|-------------------|----------------------|-----------------------------------|------------|-----------|----------------|
| Name (Print/Type) | Clifton G. Green     | Registration No. (Attorney/Agent) | 41,044     | Telephone | (309) 675-6528 |
| Signature         | <i>Clifton Green</i> | Date                              | 02/14/2001 |           |                |

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.